

TRANSMITTAL FORM

to be used for all correspondence after initial filing)

TRANSMITTAL FORM to be used for all correspondence after initial filing)		Application Number	10/613,443
		Filing Date	July 3, 2003
		First Named Inventor	GOLDFARB, ERIC A.
		Art Unit	Unassigned
		Examiner Name	Unassigned
Total Number of Pages in This Submission		Attorney Docket Number	020489-000120US

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard PTO/SB/08A & PTO/SB/08B 1 Reference Copy
Remarks: The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.		
Total number of pages <u>does not</u> include cited references.		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual	Townsend and Townsend and Crew LLP	
	Lynn M. Thompson	Reg. No. 47,991
Signature	<i>Lynn Thompson</i>	
Date	February 7, 2004	

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

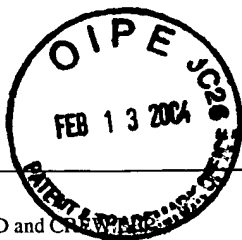
Typed or printed name	Edward Masinas		
Signature	<i>Edward Masinas</i>	Date	February 10, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

PATENT
Attorney Docket No.: 020489-000120US

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

On 2-10-04



TOWNSEND and TOWNSEND and C

By:

Edward Masinas

Edward Masinas

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

GOLDFARB, Eric et al.

Application No.: 10/613,443

Filed: July 3, 2003

For: METHODS AND APPARATUS
FOR CARDIAC VALVE REPAIR

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR §1.97 and
§1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:


The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. In accordance with 37 CFR §1.98(d), copies of the references, except U.S. Patent 6,629,534, can be found in Application No. 09/544,930, filed April 7, 2000 (Attorney Docket No. 020489-000110US). U.S. Patent 6,629,534 is enclosed herewith.

It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,


Lynn M. Thompson
Reg. No. 47,991

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, Eighth Floor
San Francisco, California 94111-3834
Tel: 650-326-2400
Fax: 650-326-2422
LMT:ewm
60136590 v1

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 5

Complete if Known

Application Number 10/613,443

Filing Date July 3, 2003

First Named Inventor GOLDFARB, ERIC A.

Art Unit Unassigned

Examiner Name Unassigned

Attorney Docket Number 020489-000120US

U.S. PATENT DOCUMENTS+

Examiner Initials*	Cite No. ¹	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	2,108,206	02-05-1938	Meeker	
	2	3,378,010	04-16-1969	Codling et al.	
	3	3,671,979	06-27-1972	Moulopoulos	
	4	3,874,338	04-01-1975	King et al.	
	5	4,056,854	11-08-1977	Boretos et al.	
	6	4,297,749	11-03-1981	Davis et al.	
	7	4,484,579	11-27-1984	Meno et al.	
	8	4,809,695	03-07-1989	Gwathmey et al.	
	9	4,917,089	04-17-1990	Sideris	
	10	4,994,077	02-19-1991	Dobben	
	11	5,042,707	08-27-1991	Taheri	
	12	5,049,153	09-17-1991	Nakao et al.	
	13	5,069,679	12-03-1991	Taheri	
	14	5,171,252	12-15-1992	Friedland	
	15	5,209,756	05-11-1993	Seedhom et al.	
	16	5,226,429	07-13-1993	Kuzmak	
	17	5,254,130	10-19-1993	Poncet et al.	
	18	5,332,402	07-26-1994	Teitelbaum	
	19	5,383,886	01-24-1995	Kensey et al.	
	20	5,403,326	04-04-1995	Harrison et al.	
	21	5,411,552	05-02-1995	Anderson et al.	
	22	5,417,700	05-23-1995	Egan	
	23	5,423,858	06-13-1995	Bolanos et al.	
	24	5,423,882	06-13-1995	Jackman et al.	
	25	5,450,860	09-19-1995	O'Connor	
	26	5,478,309	12-26-1995	Sweezer et al.	
	27	5,478,353	12-26-1995	Yoon	
	28	5,520,701	05-28-1996	Lerch	
	29	5,522,873	06-04-1996	Jackman et al.	
	30	5,536,251	07-16-1996	Evard et al.	
	31	5,542,949	08-06-1996	Yoon	
	32	5,554,185	09-10-1996	Block et al.	
	33	5,571,137	11-05-1996	Marlow et al.	
	34	5,571,215	11-05-1996	Sterman et al.	
	35	5,618,306	04-08-1997	Roth et al.	
	36	5,634,932	06-03-1997	Schmidt	
	37	5,640,955	06-24-1997	Ockuly et al.	
	38	5,713,910	02-03-1998	Gordon et al.	
	39	5,716,367	02-10-1998	Koike et al.	
	40	5,718,725	02-17-1998	Sterman et al.	
	41	5,769,812	06-23-1998	Stevens et al.	
Examiner Signature			Date Considered		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.



Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet **2** of **5****Complete if Known**

Application Number	10/613,443
Filing Date	July 3, 2003
First Named Inventor	GOLDFARB, ERIC A.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	020489-000120US

U.S. PATENT DOCUMENTS+

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	42	5,797,927		08-25-1998	Yoon	
	43	5,797,960		08-25-1998	Stevens et al.	
	44	5,810,847		09-22-1998	Laufer et al.	
	45	5,823,956		10-20-1998	Roth et al.	
	46	5,824,065		10-20-1998	Gross	
	47	5,827,237		10-27-1998	Macoviak et al.	
	48	5,829,447		11-03-1998	Stevens et al.	
	49	5,833,671		11-10-1998	Macoviak et al.	
	50	5,836,955		11-17-1998	Buelna et al.	
	51	5,840,081		11-24-1998	Anderson et al.	
	52	5,855,614		01-05-1999	Stevens et al.	
	53	5,879,307		03-09-1999	Chio et al.	
	54	5,885,271		03-23-1999	Hamilton et al.	
	55	5,928,224		07-27-1999	Laufer	
	56	5,947,363		09-07-1999	Bolduc et al.	
	57	5,954,732		09-21-1999	Hart et al.	
	58	5,980,455		11-09-1999	Daniel et al.	
	59	5,989,284		11-23-1999	Laufer, Michael D.	
	60	6,019,722		02-01-2000	Spence et al.	
	61	6,117,144		09-12-2000	Nobles et al.	
	62	6,165,183		12-26-2000	Kuehn et al.	
	63	6,210,432		04-03-2001	Salem et al.	
	64	6,269,819		08-07-2001	Oz et al.	
	65	6,306,133		10-23-2001	Tu et al.	
	66	6,312,447		11-06-2001	Grimes, Randall Y.	
	67	6,355,030		03-12-2002	Aldrich et al.	
	68	6,461,366 B1		10-08-2002	Seguin	
	69	US-2002/0087148		07-04-2002	Brock et al.	
	70	US-2002/0087169		07-04-2002	Brock et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
	71	DE	3504292		07-24-1986	Hilterbrandt et al.		<input type="checkbox"/>
	72	EP	558031		09-01-1993	Green et al.		<input type="checkbox"/>
	73	EP	179562		07-12-1989	Fisher et al.		<input type="checkbox"/>
	74	EP	684012	A2	02-16-1995	Konrad et al.		<input type="checkbox"/>
	75	GB	2151142		07-17-1985	Bonnet		<input type="checkbox"/>
	76	GB	1598111		09-16-1981	Davis et al.		<input type="checkbox"/>

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

60136590 v1



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

3

of

5

Complete if Known

Application Number	10/613,443
Filing Date	July 3, 2003
First Named Inventor	GOLDFARB, ERIC A.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	020489-000120US

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
	77	JP	11089937		06-04-1999	Atsuo et al.		<input type="checkbox"/>
	78	WO	81/00668		03-19-1981	Jansen		<input type="checkbox"/>
	79	WO	91/01689		02-21-1991	Segalowitz		<input type="checkbox"/>
	80	WO	92/12690		08-06-1992	Love et al.		<input type="checkbox"/>
	81	WO	94/18881		09-01-1994	Sterman et al.		<input type="checkbox"/>
	82	WO	94/18893		09-01-1994	Fitton et al.		<input type="checkbox"/>
	83	WO	97/39688		10-30-1997	Laufer et al.		<input type="checkbox"/>
	84	WO	98/07375		02-26-1998	Michler et al.		<input type="checkbox"/>
	85	WO	98/30153		07-16-1998	Gardiner et al.		<input type="checkbox"/>
	86	WO	98/35638		08-20-1998	Laufer		<input type="checkbox"/>
	87	WO	99/00059		01-07-1999	Oz et al.		<input type="checkbox"/>
	88	WO	99/01377		01-14-1999	Todarello		<input type="checkbox"/>
	89	WO	99/07354		02-15-1999	Duhaylongsod		<input type="checkbox"/>
	90	WO	00/03759		01-27-2000	Kuehn et al.		<input type="checkbox"/>
	91	WO	01/28432	A1	04-26-2001	Allen et al.		<input type="checkbox"/>
	92	WO	01/26557	A1	04-19-2001	Grimes		<input type="checkbox"/>

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 4 of 5

Complete if Known

Application Number	10/613,443
Filing Date	July 3, 2003
First Named Inventor	GOLDFARB, ERIC A.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	020489-000120US

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	93	Abe et al., "De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients" Ann. Thorac. Surg. (1989) 48:670-676.	
	94	Abe et al., "Updated: De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients" Ann. Thorac. Surg. (1996) 62:1876-1877.	
	95	Alvarez et al., "Repairing the degenerative mitral valve: Ten- to fifteen-year follow-up" J. Thorac. Cardiovasc. Surg. (1996) 112:238-247.	
	96	Bach et al., "Early improvement in congestive heart failure after correction of secondary mitral regurgitation in end-stage cardiomyopathy" Am. Heart J. (1995) 129:1165-1170.	
	97	Bach et al., "Improvement following correction of secondary mitral regurgitation in end-stage cardiomyopathy with mitral annuloplasty" Am. J. Cardiol. (1996) 78:966-969.	
	98	Bailey, "Surgery of the Heart" Chapter 20 (1995) pp. 686-737.	
	99	Bolling et al., "Surgery for acquired heart disease" (1995) 109:676-683.	
	100	Dec et al., "Idiopathic dilated cardiomyopathy" N. Engl. J. Med. (1994) 331:1564-1575.	
	101	Fucci et al., "Improved results with mitral valve repair using new surgical techniques" Eur. J. Cardiothorac. Sug. (1995) 9:621-627 (Medline Record enclosed herewith.).	
	102	Kameda et al., "Annuloplasty for severe mitral regurgitation due to dilated cardiomyopathy" Am. Thorac. Surg. (1996) 61:1829-1832.	
	103	Khan et al., "Blade atrial septostomy: Experience with the first 50 procedures" Cathet. Cardiovasc. Diagn. (1991) 23:257-262.	
	104	Maisano et al., "The edge-to-edge technique: A simplified method to correct mitral insufficiency" Eur. J. Cardiothorac. Surg. (1998) 13:240-246.	
	105	McCarthy et al. "Tricuspid valve repair with the Cosgrove-Edwards annuloplasty system" Am. Thorac. Surg. (1997) 64:267-268.	
	106	Park et al., "Clinical use of a blade atrial septostomy" Circulation (1978) 58:600-608.	
	107	Reul, Ross M. and Cohn, Lawrence II, Mitral Valve Reconstruction for Mitral Insufficiency, Progress in Cardiovascular Diseases, No. 6, May/June, 1997, pp. 567-599, Vol. XXXIX.	
	108	Ricchi et al. "Linear segmental annuloplasty for mitral valve repair" Ann. Thorac. Surg. (1997) 63:1805-1806.	

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 5 of 5

Complete if Known

Application Number	10/613,443
Filing Date	July 3, 2003
First Named Inventor	GOLDFARB, ERIC A.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	020489-000120US

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	109	Tager et al., "Long-term follow-up of Rheumatic patients undergoing left-sided valve replacement with tricuspid annuloplasty—Validity of preoperative echocardiographic criteria in the decision to perform tricuspid annuloplasty" Am. J. Cardiol. (1998) 81:1013-1016.	
	110	Uchida et al., "Percutaneous cardiomyotomy and valvulotomy with angioscopic guidance" Am. Heart J. (1991) 121:1221-1224.	
	111	Umana et al., "'Bow-tie' mitral valve repair successfully addresses subvalvular dysfunction in ischemic mitral regurgitation" (1997) Surgical Forum pp. 279-280.	
	112	Umana et al., "'Bow-tie' mitral valve repair: An adjuvant technique for ischemic mitral regurgitation" Ann. Thorac. Surg. (1998) 66:1640-1646.	

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.